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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **56970U**  
 First Inventor **BRUCE ROSS**  
 Title **SYSTEM FOR AUTHORIZING TRANSACTIONS USING SPECIALLY FORMATTED SMART CARDS**  
 Express Mail Label No. **EF158451267 US**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2. ☒ Applicant claims small entity status  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages **12**]  
*(preferred arrangement set forth below)*
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **12**]
5. Oath or Declaration [Total Pages **1**]
- a. ☒ Newly executed (original or copy) **unsigned**  
 Copy from a prior application (37 CFR 1.63(d))  
 (for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s)  
 named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet See 37 CFR 1.76

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 Box Patent Application  
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
*(when there is an assignee)*
11. ☐ English Translation Document *(if applicable)*
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15. ☐ Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: **CLAIMS BENEFIT OF PROVISIONAL**

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. **60/195880**

Prior application information

Examiner

Group Art Unit

Fees 4/7/00

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

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 Signature *[Signature]* Date **4-6-01**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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 11046 U.S. PATENT  
 09/028714  
 04/06/01

04/06/01

jc961 U.S. PTO  
 04/06/01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

56970U

IN RE APPLICATION OF: **Bruce Ross**

APPLICATION SER. NO.:

FILING DATE: **Concurrently herewith (based on Prov. Appln.**

**SN 60/195,880 filed April 7, 2000)**

FOR: **LAYERED SUYSTEM FOR AUTHORIZING  
TRANSACTIONS USING SPECIALLY FORMATTED  
SMART CARDS**

**Certificate of Mailing**  
**EXPRESS MAIL**


**ASSISTANT COMMISSIONER FOR PATENTS**  
**Box Patent Application**  
**Washington, DC 20231**

Sir:

I, Christine Lambert, hereby certify that the attached Utility Application (from Provisional Application SN 60/195,880 filed April 7, 2000), Application Cover Sheet, 12 pages of specification including 15 claims, 5 sheets informal drawings, unsigned Declaration and Appointment of Attorney, ~~check in the amount of \$355.00 to cover filing fee~~, Certificate of Express Mailing and prepaid postage receipt card are being deposited on April 6, 2001, with the United States Postal Service with sufficient postage as Express Mail with mailing label number EF158451267US in an envelope addressed to:

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**Washington, DC 20231**

Christine Lambert

  
Signature

April 6, 2001  
Date